

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>Application Number</b>	09/925,932
<b>Filing Date</b>	August 9, 2001
<b>First Named Inventor</b>	Philip Victor HARMAN et al
<b>Group Art Unit</b>	Unknown
<b>Examiner Name</b>	Unknown
<b>Attorney Docket Number</b>	006020.00012

Total Number of Pages in This Submission

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input checked="" type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input checked="" type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>Substitute (Clean) Specification</b>		
<table border="1"> <tr> <td>Remarks</td> <td></td> </tr> </table>			Remarks	
Remarks				

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Gary D. Fedorochko, Reg. No. 35,509
Signature	<i>Gary D. Fedorochko</i>
Date	December 6, 2001

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name

Signature

Date

**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

TOTAL AMOUNT OF PAYMENT (\$ ) 1018

Application Number	09/925,932
Filing Date	August 9, 2001
First Named Inventor	Philip Victor HARMAN et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	006020.00012

## METHOD OF PAYMENT (check one)

☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
Deposit  
Account  
Number

19-0733

Deposit  
Account  
Name

Banner &amp; Witcoff, LTD.

☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status.  
See 37 CFR 1.27
2. ☐ Payment Enclosed:
☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$ ) 370

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
60	-20 ** = 40	X 9 = 360	
Independent Claims	7	-3 ** = 4	X 42 = 168
Multiple Dependent		X	= 0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ ) 528

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	55
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ ) 120

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Gary D. Fedorochko	Registration No. Attorney/Agent)	35,509	Telephone	202-508-9100
Signature	<i>Gary D. Fedorochko</i>			Date	December 6, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/925,932	08/09/2001	Philip Harman	18193.20

CONFIRMATION NO. 4929

## FORMALITIES LETTER



\*OC000000006575366\*

Thomas L. McMasters  
Fredrikson & Byron, P.A.  
1100 International Centre  
900 Second Avenue South  
Minneapolis, MN 55402



Void date: 12/13/2001 ETULU1  
12/13/2001 ETULU1 00000012 190733 09925932  
01 FC:202 168.00 CR

12/13/2001 ETULU1 00000011 190733 09925932

01 FC:102

336.00 CH

Date Mailed: 09/19/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

Adjustment date: 12/13/2001 ETULU1  
12/13/2001 NBERHE 00000037 190733 09925932  
03 FC:203 81.00 CR

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1022.
  - \$702 for 39 total claims over 20.
  - \$320 for 4 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1862.

12/13/2001 ETULU1 00000012 190733 09925932

01 FC:202

168.00 CH

Void date: 12/13/2001 ETULU1  
12/13/2001 ETULU1 00000011 190733 09925932  
01 FC:102 336.00 CR

A copy of this notice **MUST** be returned with the reply.

12/10/2001 NBERHE 00000037 190733 09925932

01 FC:201

370.00 CH

02 FC:205

65.00 CH

03 FC:203

81.00 CH

04 FC:202

168.00 CH

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/13/2001 ETULU1 00000013 190733 09925932

01 FC:203

360.00 CH

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Atty. Docket No.: 006020.00012

**Philip Victor HARMAN et al**

Serial No.: 09/925,932

Filed: August 9, 2001

For: IMAGE CONVERSION AND ENCODING  
TECHNIQUES

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

BOX MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Notice to File Missing Parts mailed September 19, 2001, for which the period for response is extended to December 19, 2001, Applicants submit herewith the executed Declaration/Power of Attorney, Claim for Priority with priority documents, Submission of Formal Drawings, Information Disclosure Statement and Preliminary Amendment to complete the filing of the instant application.

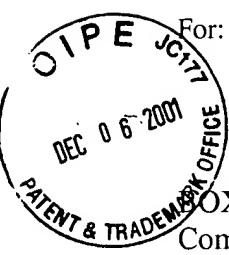
In addition, Applicants submit herewith a clean copy of the specification, claims and abstract. The originally submitted specification was distorted due to receipt by facsimile. The undersigned states that the clean version submitted herewith is identical to the application as filed and that no new matter has been added.

**PETITION FOR EXTENSION OF TIME**

Applicants respectfully request a one (1) month extension of time, up to and including December 19, 2001, to respond to the outstanding action in the above-referenced application.

12/10/2001 MBERHE 00000037 190733 09925932

02 FC:215 55.00 CH



**FEES**

The Commissioner is authorized to charge the requisite fees (small entity), as calculated below, to Deposit Account No. 19-0733. A Fee Transmittal is attached.

Application Filing Fee	\$370.00
Excess Independent Claims over 3 (4)	168.00
Excess Dependent Claims over 20 (40)	360.00
Extension of Time Fee	55.00
Late Filing Surcharge	65.00
TOTAL DUE	\$1018.00

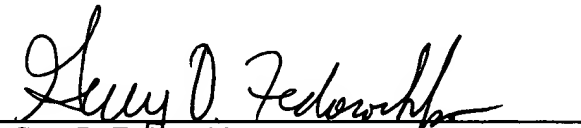
In the event of Applicants' miscalculation of fees, the Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account No. 19-0733.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: December 6, 2001

By:

  
Gary D. Fedorchko  
Registration No. 35,509

1001 G Street, N.W.  
Washington, D.C. 20001-4597  
(202) 508-9100

GDF:lab

copy  
[signature]

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:

Atty. Docket No.: 006020.00012

**Philip Victor HARMAN et al**

Serial No.: 09/925,932

Filed: August 9, 2001

For: IMAGE CONVERSION AND ENCODING  
TECHNIQUES

**SUBMISSION OF FORMAL DRAWINGS**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith is one set of formal drawings (5 sheets, Figs. 1-9) for the above-identified application.

Respectfully submitted,

Dated: December 6, 2001

By:



Gary D. Fedorovich  
Registration No. 35,509

Banner & Witcoff, Ltd.  
Eleventh Floor  
1001 G Street, N.W.  
Washington, D.C. 20001-4597  
(202) 508-9100

GDF:lab

